996 File Transfer

Functional Group ID=SO

CBP MMM OCEAN X.12 IMPLENTATION GUIDE

Introduction:

This X12 Transaction Set contains the format and establishes the data contents of the File Transfer Transaction Set (996) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used to transmit file information in formats agreed to by the sending and receiving parties. This transaction set is not intended to replace or bypass the use of existing X12 transaction sets to accommodate internal applications. The transaction set is solely intended for the exchange of formatted electronic accounting machine (EAM), 80 column card images.

Notes:

NOTE: This transaction can be used by Port Authorities to request S32 Report - A list of non-automated entries.

(Last Update: March, 2008)

	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
M	0050	ISA	Interchange Control Header	M	1		
M	0075	GS	Functional Group Header	M	1		
M	0100	ST	Transaction Set Header	M	1		
M	0200	BGF	Beginning Segment for File Transfer Information	M	1		
M	0300	K3	File Information	M	>1		
M	0400	SE	Transaction Set Trailer	M	1		
M	0500	GE	Functional Group Trailer	M	1		
M	0600	IEA	Interchange Control Trailer	M	1		

Segment: **ISA** **Interchange Control Header**
Position: 0050
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To start and identify an interchange of zero or more functional groups and interchange-related control segments
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes
M	**ISA01**	**I01**	**Authorization Information Qualifier** Code identifying the type of information in the Authorization Information 00 No Authorization Information Present (No Meaningful Information in I02)	**M 1 ID 2/2**
M	**ISA02**	**I02**	**Authorization Information** Information used for additional identification or authorization of the interchange sender or the data in the interchange; the type of information is set by the Authorization Information Qualifier (I01) Always 10 spaces.	**M 1 AN 10/10**
M	**ISA03**	**I03**	**Security Information Qualifier** Code identifying the type of information in the Security Information 00 No Security Information Present (No Meaningful Information in I04)	**M 1 ID 2/2**
M	**ISA04**	**I04**	**Security Information** This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03) Always 10 spaces.	**M 1 AN 10/10**
M	**ISA05**	**I05**	**Interchange ID Qualifier** Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified ZZ Mutually Defined	**M 1 ID 2/2**
M	**ISA06**	**I06**	**Interchange Sender ID** Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element Values: 'CUSTOMSTST' - Testing 'CUSTOMS' - Production	**M 1 AN 15/15**
M	**ISA07**	**I05**	**Interchange ID Qualifier** Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified Sending Carrier Interchange Qualifier. 02 SCAC (Standard Carrier Alpha Code) ZZ Mutually Defined	**M 1 ID 2/2**
M	**ISA08**	**I07**	**Interchange Receiver ID** Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them Sending Carrier SCAC.	**M 1 AN 15/15**

M	**ISA09**	**I08**	**Interchange Date** Date of the interchange	**M**	**1**	**DT 6/6**
M	**ISA10**	**I09**	**Interchange Time** Time of the interchange	**M**	**1**	**TM 4/4**
M	**ISA11**	**I65**	**Repetition Separator** Type is not applicable; the repetition separator is a delimiter and not a data element; this field provides the delimiter used to separate repeated occurrences of a simple data element or a composite data structure; this value must be different than the data element separator, component element separator, and the segment terminator Repetition Separator = "^" (caret)	**M**	**1**	**AN 1/1**
M	**ISA12**	**I11**	**Interchange Control Version Number** Code specifying the version number of the interchange control segments 00504 Standards Approved for Publication by ASC X12 Procedures Review Board through October 2006	**M**	**1**	**ID 5/5**
M	**ISA13**	**I12**	**Interchange Control Number** A control number assigned by the interchange sender	**M**	**1**	**N0 9/9**
M	**ISA14**	**I13**	**Acknowledgment Requested** Code indicating sender's request for an interchange acknowledgment 0 No Interchange Acknowledgment Requested	**M**	**1**	**ID 1/1**
M	**ISA15**	**I14**	**Interchange Usage Indicator** Code indicating whether data enclosed by this interchange envelope is test, production or information P Production Data	**M**	**1**	**ID 1/1**
M	**ISA16**	**I15**	**Component Element Separator** Type is not applicable; the component element separator is a delimiter and not a data element; this field provides the delimiter used to separate component data elements within a composite data structure; this value must be different than the data element separator and the segment terminator Always ':' (colon).	**M**	**1**	**AN 1/1**

Segment: **GS** **Functional Group Header**
Position: 0075
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a functional group and to provide control information
Syntax Notes:
Semantic Notes:
1 GS04 is the group date.
2 GS05 is the group time.
3 The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02.
Comments:
1 A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**GS01**	**479**	**Functional Identifier Code** Code identifying a group of application related transaction sets SO Ocean Shipment Information	**M**	**1**	**ID 2/2**
M	**GS02**	**142**	**Application Sender's Code** Code identifying party sending transmission; codes agreed to by trading partners Values: 'CUSTOMSTST' - Testing 'CUSTOMS' - Production	**M**	**1**	**AN 2/15**
M	**GS03**	**124**	**Application Receiver's Code** Code identifying party receiving transmission; codes agreed to by trading partners Sender Carrier Identifier/SCAC.	**M**	**1**	**AN 2/15**
M	**GS04**	**373**	**Date** Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year	**M**	**1**	**DT 8/8**
M	**GS05**	**337**	**Time** Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99)	**M**	**1**	**TM 4/8**
M	**GS06**	**28**	**Group Control Number** Assigned number originated and maintained by the sender	**M**	**1**	**N0 1/9**
M	**GS07**	**455**	**Responsible Agency Code** Code identifying the issuer of the standard; this code is used in conjunction with Data Element 480 X Accredited Standards Committee X12	**M**	**1**	**ID 1/2**
M	**GS08**	**480**	**Version / Release / Industry Identifier Code** Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed 005040 Standards Approved for Publication by ASC X12 Procedures Review Board through October 2006	**M**	**1**	**AN 1/12**

Segment: **ST** **Transaction Set Header**
Position: 0100
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number
Syntax Notes:
Semantic Notes:
1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
2 The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition. When used, this implementation convention reference takes precedence over the implementation reference specified in the GS08.
Comments:

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**ST01**	**143**	**Transaction Set Identifier Code** Code uniquely identifying a Transaction Set Refer to 005040++ Data Element Dictionary for acceptable code values.	**M**	**1**	**ID 3/3**
M	**ST02**	**329**	**Transaction Set Control Number** Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	**M**	**1**	**AN 4/9**
	ST03	**1705**	**Implementation Convention Reference** Reference assigned to identify Implementation Convention	**O**	**1**	**AN 1/35**

Segment: **BGF** **Beginning Segment for File Transfer Information**
Position: 0200
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To transmit identifying numbers, dates, and other basic data relating to the transaction set
Syntax Notes:
Semantic Notes:
Comments: **1** Due to the installation of the ST segment in all transaction sets, data element 143 in all of the "B" segments is redundant. DE 143 will be retained as an optional data element for a period of adjustment. It is suggested that DE 143 not be transmitted so it may be dropped from segment definitions in the future.
The reference number qualifier code for file identifier is "FI".

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
	BGF01	**143**	**Transaction Set Identifier Code** Code uniquely identifying a Transaction Set 996 File Transfer	**O**	**1**	**ID 3/3**
M	**BGF02**	**128**	**Reference Identification Qualifier** Code qualifying the Reference Identification FI File Identifier	**M**	**1**	**ID 2/3**
M	**BGF03**	**127**	**Reference Identification** Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier S32 S32 Report Download	**M**	**1**	**AN 1/80**

Segment: **K3** **File Information**
Position: 0300
Loop:
Level:
Usage: Mandatory
Max Use: >1
Purpose: To transmit a fixed-format record or matrix contents
Syntax Notes:
Semantic Notes: **1** K303 identifies the value of the index.
Comments: **1** The default for K302 is content.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**K301**	**449**	**Fixed Format Information** Data in fixed format agreed upon by sender and receiver	**M**	**1**	**AN 1/80**

Segment: **SE** **Transaction Set Trailer**
Position: 0400
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)
Syntax Notes:
Semantic Notes:
Comments: **1** SE is the last segment of each transaction set.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**SE01**	**96**	**Number of Included Segments** Total number of segments included in a transaction set including ST and SE segments	**M**	**1**	**N0 1/10**
M	**SE02**	**329**	**Transaction Set Control Number** Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set	**M**	**1**	**AN 4/9**

Segment: **GE** **Functional Group Trailer**
Position: 0500
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of a functional group and to provide control information
Syntax Notes:
Semantic Notes: **1** The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06.
Comments: **1** The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**GE01**	**97**	**Number of Transaction Sets Included** Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element	**M**	**1**	**N0 1/6**
M	**GE02**	**28**	**Group Control Number** Assigned number originated and maintained by the sender	**M**	**1**	**N0 1/9**

Segment: **IEA** **Interchange Control Trailer**
Position: 0600
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To define the end of an interchange of zero or more functional groups and interchange-related control segments
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
M	**IEA01**	**I16**	**Number of Included Functional Groups** A count of the number of functional groups included in an interchange	**M**	**1**	**N0 1/5**
M	**IEA02**	**I12**	**Interchange Control Number** A control number assigned by the interchange sender	**M**	**1**	**N0 9/9**